

Issuance Date: December 28, 2004

Closing Date: March 28, 2005

Closing Time: 3 p.m Local Time

Subject: Request for Applications (RFA) Number 514-05-004
Integrated Humanitarian Assistance Support to Internally Displaced Persons and Other Vulnerable Groups.

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for Integrated Humanitarian Assistance Support to Internally Displaced Persons and Other Vulnerable Groups. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective to support USAID/Colombia in implementing its revised Strategy for Internally Displaced Persons (IDP). Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$103,000,000.00 - \$116,000,000.00 in total USAID funding to be allocated over the 5 year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements
5. Annex: 1. Training Participant
2. List of Selected Municipalities

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

514-05-004

(By U.S. Mail)

AMERICAN EMBASSY/ USAID
UNIT 5101
APO AA 34038

(By all other means of delivery)

AMERICAN EMBASSY / USAID
Carrera 45 No. 22 D 45
Bogotá, Colombia
Ms. Yvette Feurtado, Agreement Officer

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via Fedgrants.gov on the world wide web (www). This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.fedgrants.gov>. Select "Applicant", then click on "USAID Offices", and select the appropriate location and search for the RFA. If you have difficulty with accessing the RFA, please contact Ms. Mercedes Williams at 202-712-1799 for technical assistance. Receipt of this RFA through Fedgrants.gov must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from Fedgrants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Nubia Farfán or Yvette Feurtado, via facsimile at (571) 423-6861 or via internet at nfarfán@usaid.gov or yvfeurtado@usaid.go. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Yvette Feurtado
Agreement Officer

SECTION A - GRANT APPLICATION FORMAT

PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and 2 copy; and cost portions of applications in an original and 2 copies..

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 2 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

COST APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for a Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. A copy of the program description that was detailed in the applicants program description, on a 3-1/2" diskette, formatted in Word97 or newest version.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/;

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;

- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share has been recommended to be 25 % of the total estimated amount. If the applicant proposes a cost share of less than 25 %, it will be deemed as not responsive, and will be removed from further consideration.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. projected budget, cash flow and organizational chart;

3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

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J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

O. Grant Award:

1. The Government may award the Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or

all applications, (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in applications received.

2. The Government may award the Grant on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

Q. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

R. Foreign Government Delegations to International Conferences - Funds in this agreement, may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [CO/AO/CTO].

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

USAID Colombia will use the following evaluation criteria to select the implementing organization for this program:

1. The organization's prior experience and demonstrated technical capability to carry out large, complex development programs in areas of program concentration (income and employment generation; job skills training and placement; humanitarian assistance; alliance building, and emergency relief). 20 points
2. Proposed methodology for implementing the program as follows: a. Establishing both national and field offices, mobilizing international and local staff, procuring vehicles and equipment, and establishing working relationship with all partner organizations. b. Submitting a plan for maximizing the use of local organizations (Colombian NGOs, educational institutions, for-profit consulting firms) c. Creating innovative mechanisms, techniques, and performance monitoring measurement methods proposed. 20 points
3. Qualifications of key personnel proposed. 20 Points
4. Cost proposal demonstrates concern for minimizing overhead and management costs in relation to actual field activities and leveraging significant resources from the private sector partners. 20 points.
5. Proposed strategies for developing strategic alliances with key private sector entities that contribute new ideas and significant resources to the program. 15 points.
6. Past Performance. Criteria for evaluation will be the applicant's past performance in similar programs. 5 points

SECTION C - PROGRAM DESCRIPTION

Strengthened National and Local Capacity to Provide an Integrated Package of Services to Internally Displaced Persons (IDPs) and Other Vulnerable Groups.

RFA SECTION C – PROGRAM DESCRIPTION

I. Development Context and Constraints

A. The cause and status of the crisis of displacement in Colombia

Decades of widespread violence by guerrilla groups and paramilitary forces competing for land and drug trafficking routes has caused millions of Colombians to flee their homes in search of safety. UNHCR estimates that more than 3.4 million persons have been displaced between 1985 and 2003, among a total population of 45 million, thus creating the fourth largest IDP population in the world.

Most flee to nearby villages and towns while others displace immediately to one of Colombia's five largest cities (which contain 18 percent of the displaced persons). Displacement disproportionately affects women and children, Afro-Colombians, indigenous and other vulnerable groups. Displaced youth residing in urban slums have been targeted for recruitment by illegal armed groups and gangs.

B. Government of Colombia policy, Plan Colombia

These circumstances pose a formidable array of complexities to be addressed by the Government of Colombia (GOC) with assistance from bilateral and multilateral donors. The GOC considers assistance to the displaced community to be a high priority, and an important element in Plan Colombia. The GOC, assisted by the US Department of State Program for Population, Refugees, and Migration (PRM) and other donors, provides emergency assistance (transportation, communication, food, water, shelter, sanitation, clothing, and documentation) to families and individuals during their initial ninety days of displacement or for a shorter period until they can return securely to their homes. Thereafter, USAID's humanitarian assistance program provides medium and longer-term assistance to those persons who remain displaced until return to their homes (or resettlement) is possible.

Plan Colombia prescribes the strategy of the Colombian Government for peace, prosperity, and institutional strengthening. Located in the Office of the Presidency, Plan Colombia is an ambitious investment plan that benefits less fortunate Colombians. It also seeks to restore confidence among Colombians by "rescuing basic norms of social coexistence, the promotion of democracy, justice, territorial integrity, the generation of employment conditions, and respect for human rights and the conservation of public order."

The GOC has established geographic areas wherein its assistance resources are concentrated, designated as Regions of High Priority (RAP, Spanish acronym for *Regiones de Alta Prioridad*). The RAPs are areas that have recently been or are currently being retaken from control by the guerrillas or paramilitary groups, where the GOC wishes to establish legitimate state institutional presence and economic opportunity.

The magnitude of the humanitarian crisis by the country's large internally displaced population requires a sustained effort and resources from the GOC, the private sector, international humanitarian organizations, human rights groups and virtually all international donors. The government agency in charge of coordinating assistance to IDPs is the Social Solidarity Network. It relies on support from nineteen state institutions that comprise the National System of Integral Assistance to the Population Displaced by Violence. The GOC places emphasis on promoting and facilitating the return of IDPs to their communities of origin. However, the three basic conditions for successful return—that it be safe, voluntary

and supported by economic and social reintegration/re-establishment programs- are difficult for the government to guarantee under prevailing circumstances.

C. U.S. Government and USAID Humanitarian Policies

The US Government has a close and effective working relationship with key GOC officials responsible for policies and activities under Plan Colombia. USG and GOC policies are consistent with respect to the major themes underlying their programs (pursuit of illicit crop eradication, demobilization of terrorist organizations, extension of state presence as a means to prevent further insurgency and economic growth as a means to withdraw labor and land from illicit activities).

The US Department of State Bureau of Population Refugees and Migration (PRM) provides emergency relief support to Colombian IDPs for up to ninety days during initial displacement. PRM activities are focused on local organizational capacity building to improve health care delivery to displaced persons and supplementary feeding programs for women and children.

USAID provides medium to longer-term assistance programs and since 2001 its programs have benefited over two million IDPs and other vulnerable groups. USAID provides sustained assistance to IDPs, other vulnerable groups such as receptor communities, displaced youth, and child-ex-combatants to help them reenter civilian society. USAID programs have assisted almost 20,000 families return voluntarily to their original homes or to relocate in new communities.

USAID recognizes that Colombia's IDPs pose pressing humanitarian, human rights, development and political challenges for the global community. USAID is committed to a long-term perspective that promotes durable solutions and eventual self-reliance for displaced persons, during all phases of displacement, from emergency relief to transitional aid to long-term development assistance. The ultimate goal is to enable IDPs to become fully productive contributors to economic and social progress.

D. Role of Other Donors and Coordination

The UN sponsored the preparation of the first Humanitarian Action Plan for Colombia, published in February 2003, which reflected the growing international awareness that more coordinated and more effective action is urgently needed. Multilateral assistance to Colombia for IDPs from the World Bank, European Union, and United Nations Agencies will total approximately \$18 million in 2004. Excluding the U.S., bilateral assistance for the displaced will be approximately \$7 million, coming principally from Switzerland, Spain and Italy. In 2002, the European Union financed an 8-year, \$34.8 million "Peace Laboratory" in the Magdalena Medio region in some 29 municipalities, which is the most significant donor assistance outside of the US. The EU is now negotiating a 6 year, \$33 million "Peace Laboratory II" agreement with the GOC, which will target 5 regions: Northern Santander, Eastern Antioqueño and Macizo Colombiano-Alto Patía (in the departments of Cauca and Nariño). These programs promote alternative development, conflict mitigation and democratic governance in the most conflictive areas of Colombia.

The International Committee for the Red Cross provides services to all victims of armed combat, and communicates with all parties, visits prisoners, refugees and displaced persons and promotes the application of international humanitarian law in all cases. The American Red Cross works with the Colombian Red Cross in support of projects for emergency assistance.

II. USAID/Colombia's Humanitarian Assistance Strategy

A. Program Objectives

Beginning in 2006, USAID's humanitarian assistance program will build upon synergies achieved with USAID's alternative development and democracy programs, in order to increase impact and to achieve the mission goal of

sustainable reduction in the production of illicit drugs and the promotion of peace in Colombia. USAID's new strategy will focus its alternative development, democracy and humanitarian assistance programs in areas of the country that: 1) are under coca/poppy cultivation or that are vulnerable to illicit crop production; 2) have significant economic potential; 3) have sufficient local and national political will; and 4) have a level of security that will help assure the longer-term sustainability of USAID assistance efforts. Within these clearly defined "focus zones", the humanitarian assistance program will be implemented in approximately 102 contiguous municipalities with significant (greater than 250 persons) levels of IDPs. (See Annexes for a map of focus areas and a list of municipalities). The program will target approximately 750,000 IDPs and other vulnerable groups during the planned, five-year (2006-2010) implementation period.

B. Current USAID-supported efforts

Since 2001, USAID has directly assisted more than two million persons who have been displaced by violence or forced to flee their homes after receiving death threats. USAID works with experienced, managerially and financially self-sufficient, NGOs to provide emergency assistance as well as medium and long-term support for IDPs, such as health care, temporary shelter, home repair, water and sanitation, access to education, micro and small enterprise assistance, and employment creation and training. USAID is also providing support for former child combatants in reception centers where they receive shelter, education and counseling.

USAID's programs have also provided organizational strengthening for Colombian institutions, both public and private, improving their capacity to assume the responsibility for providing these services. Over a four-year period, over 2 million persons have received US\$140 million of USAID-funded humanitarian assistance and benefits and over 21,000 families (more than 105,000 displaced persons) have been assisted to voluntarily return to their original homes or to relocate in new communities.

Contrary to the common belief that assistance creates a dependency ethic or an incentive to migrate towards sources of assistance, an August 2004 study by the World Bank indicates that the provision of assistance to displaced persons in Colombia increases their desire and propensity to return to their origins. A major policy of the Government since 2002 has been the secure return of as many IDPs as possible. By mid-2004, over 300,000 IDPs had returned to their homes (or had been resettled), of which one-third were assisted by USAID's IDP program.

C. New Strategic Focus:

USAID/Colombia's revised strategy, approved in July 2004, confirms a shift in the way the Mission defines its role in the fight against illicit drugs and violence in Colombia. The Mission's new strategic emphasis is aimed at attacking the economic and social causes of illicit crop production and violence. The strategic approach of the Mission will continue to support democratic governance and humanitarian relief with an increased emphasis on economic alternatives. The Mission has three Strategic Objectives - SO1: Enhanced Democratic Governance, SO2: Expanded Economic and Social Alternatives to Illicit Crop Production and SO3: Support to IDPs and other Vulnerable Groups.

1. Economic and social opportunities

In accordance with the Mission strategy to achieve overall program goals through focus, coherence and synergy between and among strategic objectives, humanitarian support to IDPs and other vulnerable groups will be focused in four regions (10 departments/provinces) that have been selected by the Mission for integrated program activities. These regions will be the focus for the implementation of not only the activities described in this RFA but of municipal-level alternative development, municipal strengthening, private sector-led investment and employment and specialty coffee initiatives financed under USAID's SO2 and enhanced democratic governance activities under SO1. By concentrating USAID-funded assistance to IDPs in these areas of integrated program focus, IDPs will be able to take better advantage of the municipal services, community development and economic and employment opportunities being strengthened under these USAID-funded programs.

2. Programmatic focus and integration

Features of the new strategic focus are a major reduction in the geographic coverage of the Mission's IDP program, a limit

of two years for USAID financed assistance activities to individual IDPs and the consolidation of activities eligible for financing.

Assistance to IDPs will be concentrated in receptor municipalities and secondary cities closest to the rural communities, towns and villages IDPs have been forced to leave. It will be important during the next two years that the GOC begin to assume greater responsibility for financing IDP programs in areas that are outside USAID's new geographic focus. Finally the USAID program will continue to strengthen the capacity of Colombian private sector institutions and local NGOs to sustain programs with their own resources or leverage financing from other international sources.

D. New Geographic Focus

USAID believes its programs will achieve greater impact, be more efficiently implemented, and achieve greater sustainability if projects are geographically focused with an emphasis in economic growth corridors and special interest areas with municipal targeting, supported by a limited number of national level projects. Based on these criteria, the Mission has selected four regions in which to implement activities described in this RFA. The priority geographic areas of USAID development and humanitarian programs will be in contiguous municipalities within these regions.

The Mission has identified 102 municipalities within the growth corridors, which have an IDP population of over 250 people for a comprehensive menu of activities directly linked to alternative development, small-scale socio-economic infrastructure, private sector investment and employment initiatives and local government strengthening that will be carried out under the Mission's democracy and alternative development programs. However, the flexibility to work in areas of high IDP concentration, which are not in USAID focus areas, may be retained under exceptional circumstances and with the concurrence of the USAID Mission Director. Close programmatic cooperation among the strategic teams in the Mission and operators on the ground will facilitate synergies among program elements that are mutually supportive. IDPs and other vulnerable groups will be supported within the programmatic elements of two SO2 (Alternative Development) major new initiatives that will offer access to long-term durable alternative development programming - the first, a municipal-level alternative development/municipal strengthening activity designated as ADAM (Spanish acronym for *Areas de Desarrollo Alternativo a Nivel Municipal* or Areas for Municipal-level Alternative Development) and the second, a private sector-led investment and employment initiative, which includes activities to address land reform policy issues related to land tenure, designated as MIDAS (Spanish acronym for *Mas Inversion para el Desarrollo Alternativo Sostenible* or More Investment for Sustainable Alternative Development).

Within the selected 102 municipalities, the total population of 12,483,113 currently contains 353,279 registered internally displaced persons. (*Nationwide, it is estimated that only 60% of the internally displaced population are actually registered, so the current number of IDPs in the 102 municipalities is estimated at 569,000.*) Approximately one third of the total population of these areas is Afro-Colombian (3,406,047 or 27 percent). (See Annexes for list of municipalities)

The Choco province or department remains a special interest area. However IDP activities will be limited to only two municipalities – Quibdó and Bojayá. Since Chocó is a net exporter of IDPs, support will be provided on the same conditions as outlined in other sections herein. There will likely be strong private sector interest in participating in the investment-driven programs financed under SO2 in this region.

E. Special Objectives and Crosscutting issues

Along with the three Strategic Objectives of the USAID Mission, crosscutting themes addressed by all programs are important. Humanitarian assistance programs are more effective when they identify and address the differential effects of disaster on population subgroups. Applicants should demonstrate their intent to enhance partnerships with the Colombian private sector that support IDP activities or employ IDP and other vulnerable groups, and take advantage of opportunities with both US and Colombian private sector.

1. Afro-Colombians

Statistics available on Afro-Colombians in Colombia indicate the total population to be 11,776,688 or 26 percent of the national population. According to human rights organizations in Colombia, Afro-Colombians are disproportionately

impacted by the violence and are discriminated against in social and economic opportunities and training, hiring, and access to health and education. The Pacific Coast of Colombia has been devastated by the intensification of civilian violence, expansion of coca crop production and aerial fumigation of illicit crops. This is an area rich in bio-diversity where many Afro-Colombians live and collectively own land.

2. Youth at risk

All USAID programs include at-risk youth within their target beneficiary group, as young persons in Colombia are highly vulnerable to displacement and recruitment into illegal armed groups. Access is needed to programs that engage disaffected youth in a variety of activities that contribute to their self-esteem and promote social values, licit employment, community involvement, education, culture and sports. Such programs may include activities and support that enable IDP and other at-risk children and youth to attend and complete school, receive appropriate job training and access to employment, participate in community social, religious, and political activities, have access to health care, including reproductive health education, and become and remain active family and community members.

3. Other vulnerable groups

Indigenous groups, women and children and the traditional poor are increasingly disadvantaged as scarce local resources and services are stretched to accommodate new populations of the displaced. Inclusive and community-level programs that respond to general social needs can prevent increased vulnerabilities in these groups.

4. Access to land

Land access issues weave through all Mission SOs, and must be considered as IDPs strive to secure land title and access to support their return or relocation efforts. USAID is working with the GOC at the policy level to assist in resolving land tenure issues. Implementers shall coordinate very closely with USAID to identify land access issues/bottlenecks and clarify new processes at the local level as more IDPs return or are resettled. Land access will be a crucial variable of durable solutions and sustainable peace.

5. Gender

An awareness of gender and gender-specific programming is an important aspect of all USAID-funded programs, and the disproportionate impact of displacement on women warrants special program focus. USAID will use a gender-sensitive approach to providing IDP assistance, paying particular attention to the needs of women and other vulnerable subgroups. Special attention shall be paid to such key women's international issues as entrepreneurial opportunities, women's empowerment, women's role in peace and security and violence against women. USAID also will assure that women and other vulnerable subgroups are actively involved in formulating programs that address their needs.

F. Linkages to Other SOs and USAID Activities

The consolidation and integration of USAID program activities in the aforementioned geographic areas will promote synergies between and among other USAID/Colombia strategic objectives and implementing partners and grantees. In all USAID-supported areas, IDPs will receive priority assistance, support and access. Within the USAID Mission, SO Teams will coordinate activities and plans, and implementers on the ground will coordinate activities and programs within local areas.

IDPs who arrive in initial receptor municipalities will find USAID-supported economic and social opportunities coordinated with alternative development, municipal strengthening, private-sector investment and employment initiatives, and local governance programs, expanding USAID support beyond provision of services, and transitioning toward durable solutions. Program implementers will work closely with local municipalities, municipal committees, other public and private sector entities, as well as other USAID operators to determine and identify the best fit of potential programs, the best distribution of resources and the most vulnerable populations. In those communities with MIDAS and/or ADAM activities, IDPs and other vulnerable groups will find access to medium-long term support from an array of possible activities to include access to credit and productive (farm and off-farm) opportunities.

The implementer will explore and pursue opportunities to form alliances with the private sector. USAID expects these alliances to contribute new and significant resources in helping vulnerable communities undertake viable economic activities that deter displacement and result in sustainable impacts.

III. Program Parameters

USAID intends to enter into a cooperative agreement with one consortium or lead organization with associate support organizations to implement IR 1: Strengthened National and Local Capacity to Provide an Integrated Package of Services to Internally Displaced Persons (IDPs) and Other Vulnerable Groups of SO3: Support to IDPS and other Vulnerable Groups

A. Time Period

Applicants responding to the RFA should propose activities to be implemented over a five-year period, beginning at the start of fiscal year (FY) 2006 (i.e., October 1, 2005). USAID expects to enter into one cooperative agreement to cover the five-year time period of the new Strategic Plan FY 2006-2010. However, USAID's current strategic plan has only been approved through 2008. Funding of the final two years of the grant will depend on approval of a new or extended strategy, and on the availability of funds for the purposes described herein. The Award is effective the date of signature. Responders should include a five-year Implementation Plan, with the understanding that the fluid situation in Colombia may require mid-course adjustments. Given the mid-to-long term nature of the USAID program, assistance to any individual will be limited to 24 months to avoid creating dependencies and disincentives to self-sufficiency.

B. Location

See Section II.D above, Geographic Focus. Grantees are expected to establish national and regional offices within the designated corridors to facilitate coordination.

C. Implementers/Grantees/Operators

Offering consortiums must be led by an experienced US organization with extensive experience in humanitarian assistance. The member partners may be Colombian organizations with demonstrated assistance program management capacity. Although it is anticipated that community-level implementation will be provided by sub-grantees, the consortium should make every effort to identify subs who have a demonstrated capacity to provide various if not all community level interventions, thus maintaining a minimum of management units. This activity will function under a Cooperative Agreement. The consortium or lead organization approach reduces the management burden of the Mission, as the myriad elements of the IDP program are managed through one operating unit.

1. Results focus

This will be a result-focused program and clear targets and benchmarks will be established that will be used to measure success during implementation. Although Section C of this RFA should serve as a frame of reference for organizations preparing proposals for this program, respondents are encouraged to suggest innovative approaches and implementation mechanisms they believe will achieve or exceed the program-desired results. If the respondent proposes results targets different from those specified by USAID/ Colombia in this document, it should clearly explain why the new result target would be more advantageous in achieving overall program objectives.

2. Grantee organization

To streamline management and reduce overlap and redundancy, and improve coverage, one award will be granted. USAID prefers applicants to present a consortium, or lead with associates approach, or other structure that will have two main features: a clearly identified U.S. lead organization and a hierarchy of responsibility, and a clearly agreed-upon arrangement among partners that will capture the programmatic strengths of the various organizations participating. The

consortium may include U.S. Private Voluntary Organizations, universities and foundations, and other types of U. S., international and Colombian organizations.

3. Colombian involvement

The U.S. organization selected to manage this program will involve to the maximum extent possible Colombian organizations during implementation. It is crucial to involve Colombian NGOs, educational institutions, and where appropriate, private consulting firms in the implementation of this project within the limits of coherent program design, cost effectiveness and appropriate resource accountability. Colombia has excellent human resources, and a number of local organizations have demonstrated outstanding technical and administrative competence. Of particular importance are the Colombia civic organizations that demonstrate commitment by the country's private sector and individuals to counter the forces destabilizing the country.

By involving Colombian partners, USAID and operators will have greater access to knowledge of local realities and there will be increased probability that local institutions will be strong enough to take over full implementation of programs with little or no institutional support. It is also important that Colombian professionals be used to the maximum extent possible in any technical advisor positions as long as they are technically qualified to do so. In all cases, special effort should be made to seek qualified Afro-Colombians, women and members of other vulnerable groups to participate.

4. Flexibility in adapting to changing circumstances

The past four years have witnessed significant changes in the operating environment and priorities for responding to the IDP crisis in Colombia. With the initiation of peace talks and preventive initiatives, the nature, location and needs of the IDPs and other vulnerable groups can be expected to continue to change. The program suggested in this RFA may be subject to significant modification in the future, due to changes in the economic, political and security environments. The Applicant will need to demonstrate its capacity to adjust to these changing circumstances.

5. Phased approach

The tasks to be implemented under this program are very large in scope and complexity. If the implementer were to attempt to undertake all activities in all designated municipalities simultaneously, it would not be possible to ensure the appropriate level of management and control nor would the resources be available to do so. Applicant may propose a phased approach. For example, to take advantage of short-term job opportunities that may be created, implementation may begin in those ADAM municipalities with ongoing municipal strengthening programs that are funding social infrastructure projects or ongoing alternative development programs offering access to on-the-farm job opportunities and then later phase into other municipalities as these opportunities for synergies become apparent. The proposal should describe the criteria to be used in selecting which regions or municipalities should be selected first for implementation.

6. Alliances

USAID expects the Applicant to propose strategies for forming a variety of alliances with the private sector that bring new and significant resources as well as innovative approaches to address the development problems that displaced populations face. The potential to build alliances ranges from international gas and oil companies operating in some of the conflict areas to national companies focused on rubber, cocoa, palm oil, fruits and vegetables, coffee, and flowers.

The Applicant should identify and describe incentives for the private sector to work with USAID as well as the incentives for USAID to work with the private sector. The description should also include how due diligence will be conducted in order to reduce the risk of poor business practices. The Applicant should also provide an estimate of the kinds of resources and their values that the program can leverage from the private sector as well as the process for reaching agreements with partners on resource contributions. The mechanisms to formalize resource commitments such as Memorandums of Understanding and Letters of Intent should be described.

D. Coordination

USAID Strategic Objective Teams will share reports, attend regular, joint meetings and coordinate field visits to insure that programmatic synergies are maximized.

Applicants should present an illustrative Advisory Board with suggested participating organizations and responsibilities that will meet at regular intervals throughout the period of this Cooperative Agreement to review and advise on implementation milestones, results, adjustments and policy directions.

At the local level, existing advisory groups, inclusive of IDPs, will be reviewed for their efficacy and potential role in program advising and eventual implementation. If no local institution(s) exist to fulfill this role, the grantee will take a lead in entering into dialogue with the community and perhaps regional and national leaders to identify such an institution, modify an existing institution, or create a new one.

USAID/Colombia will coordinate the program with the Government of Colombia through an annual or semi-annual consultation meeting and the organization selected to implement the Cooperative Agreement will play a key role in preparing these meetings. The organization selected to manage this program is expected to give full recognition that this is a joint project of the US and Colombian governments in all public notices, etc., issued in relation to the program. In addition, the organization should also note in any public notices and events that US Assistance is supportive of GOC efforts to implement Plan Colombia.

E. Illustrative activities

The nature of the interventions will vary in different geographic areas and evolve over the length of the program. The IDP Consortium will adapt and adjust the types of interventions, as required.

1. Description

The Consortium selected to implement this activity will coordinate the provision of program elements for the displaced and other vulnerable groups through the phases of displacement in the designated program areas. The aim of this activity is to strengthen national and local capacity, reduce displacement, mitigate the trauma suffered by the displaced, facilitate access to basic social services and economic opportunity, assist the displaced to become productive, and promote eventual reintegration or resettlement. The Consortium shall assist an individual program beneficiary for a period not to exceed two years (24 months on average, across all beneficiaries). The level of effort is established to assist a total of 750,000 people, consisting of displaced persons (estimated at 569,000 in USAID-selected regions/municipalities) and members of other vulnerable groups. It will consist of a menu of services to be provided according to the need of the beneficiaries. Broad guidelines below illustrate types of activities to be considered. All require cooperation with other USAID Strategic Objective teams and operators. Activities must be variable to respond and/or coordinate a response to the protection and other needs at all stages of displacement.

a. Prevention and Pre emergency preparedness:

Early warning and monitoring systems, mechanisms for information exchange, assessments and strengthening of response capacity, pre-positioning of emergency equipment and supplies, and interventions to keep families together

b. Early emergency phase:

Assessment of local response to immediate humanitarian needs and protection and plan to fill gaps or identified deficiencies.

c. Care and maintenance phase:

Access to security and protection, water and food, health services, education and training, tools, income generating activities, legal documents, trauma counseling, family tracing, health services, including reproductive health and HIV/AIDS prevention, and agricultural inputs.

d. Transitional reintegration phase

Transportation back home, protection from involuntary return, help to reclaim land and rebuild houses and businesses, support to establish accountable governance, civil society and rule of law, programs to reconcile lingering ethnic and political tensions, programs to safeguard the rights of women and other vulnerable groups. *This component will be implemented in close coordination with related democratic governance programs (i.e., human rights protection).*

e. Long-term development phase

Access to opportunities that generate long-term and sustainable employment and income, such as job training and placement. Training programs may include job skills and vocational training, literacy and numeracy for adults, and agricultural extension services. *This component will coordinate access to opportunities provided through the micro-credit and micro-enterprise development (farm and off-farm productive projects) activities implemented under USAID/Colombia's alternative development programs.*

The consortium or lead and associates will also assist other vulnerable groups including Afro-Colombians, ethnic groups, and vulnerable youth at risk of recruitment into gangs or illegal armies.

In each of the municipalities in Annex 2, the consortium or lead organization will identify a local implementer that will carry out a community assessment and beneficiary evaluation to design a program structure, drawing from the menu of the program elements and based upon beneficiary needs.

2. Illustrative Activities

a. Healthcare Safety Net

While basic health care should be provided by municipal institutions, the program will complement municipal efforts to respond to specific health needs of IDPs and other vulnerable groups. Feeding and nutritional support programs may be provided for those at risk, as well as temporary water and sewage services. Health awareness campaigns regarding infant diseases, oral hygiene, the prevention of transmittable diseases, the promotion of reproductive health, assistance for victims of rape and incest and psychosocial counseling for those traumatized by displacement may be provided.

b. Education

Program activities that support access to formal education for children of IDPs and other vulnerable groups may be continued. Small educational stipends that cover school expenses such as uniforms and lunches, as well as non-formal and adult education activities may be funded. Efforts to increase retention of students at school may be carried out. Educational programs should address community needs, be inclusive of community members and should not benefit IDPS exclusively.

c. Training, Employment, and Income Generation

The Consortium will develop job training and placement activities targeted to available employment opportunities. It should take advantage of the training programs and infrastructure of the National Learning Service, (Spanish acronym SENA for Servicio Nacional de Aprendizaje) that provides vocational and technical training and job placement. Where land is available, linkages will be established with the MIDAS and ADAM programs to promote the effective implementation of transitional food security programs for IDP program beneficiaries and to the maximum extent possible to link this support to longer-term commercial agricultural development initiatives. The consortium may provide income subsidies for short periods, or until initial crops are harvested. In the municipalities targeted for USAID municipal-level alternative development/municipal strengthening programs (ADAM), short-term job opportunities for IDPs may be generated through municipal infrastructure projects while in the areas targeted for the private sector investment initiatives (MIDAS) longer-term employment opportunities will be created for this group. The consortium will work very closely with the operators of these and other USAID programs to identify and take advantage of all potential employment opportunities for IDPS and other vulnerable groups within these activities. The Consortium may provide seed grants and in-kind donations for short-term income initiatives. In addition, appropriate linkages will be established through the

MIDAS program to effectively promote IDP access to programs which are designed to improve sustainable market-based access to competitive financial services.

d. Youth Activities

The consortium will implement alternative activities for IDP and other at-risk youth who are targets of recruitment into illegal armies and gangs. Activities will be developed to engage disaffected youth in a variety of activities that contribute to their self-esteem, and promote social values, community involvement, education, culture and sports. Additionally, the consortium may provide institutional support to special youth programs, modeled after the successful “*Fenix Program*” implemented by COMFAMA (Spanish acronym for *Caja de Compensacion Familiar Antioquia/ Family Compensation Fund of Antioquia*), a member organization of the nationwide system that provides social, economic and humanitarian assistance funded by revenues from a tax on private sector firms/businesses. Specialized technical assistance and training opportunities for youth are also offered through this system of fifty-four service centers.

e. Housing

Temporary shelter/housing may be provided to program beneficiaries (when/where warranted, as well as temporary water and sanitation infrastructure to meet public health needs.

f. Return and Relocation Programs

This program activity will provide assistance to those who have returned to their community or relocated elsewhere, and may provide modest improvements to existing housing along with basic water and sanitation. The IDP Program operator will coordinate with local municipalities to ensure that IDPs have access to municipal health and education services. Returning or relocating IDPs will be provided an assistance package of agricultural inputs, basic tools and technical assistance, along with food security subsidies until first harvest. Land tenure issues must be addressed. Coordination will be established with MIDAS on the identification of key policy and institutional constraints to effectively defining and protecting the property rights of IDPs and with MIDAS and ADAM on the implementation of extensive pilot programs to enforce these rights. Additionally, it will be important that an institutional “watchdog” function be performed which helps insure appropriate enforcement of the property rights of returnees. It is anticipated that the program will assist approximately 65,000 returnees or those relocating.

g. Institutional Strengthening

The consortium will provide technical assistance and support to the GOC’s Social Solidarity Network (Spanish acronym RSS for *Red de Solidaridad Social*), as well as to the Assistance and Orientation Units at the local level. The IDP program will also provide technical assistance to grass roots organizations and NGOs operating programs at the municipal and community levels.

Applicants should consider implementing additional activities aimed specifically at institutional strengthening from the ideas below:

i. Strengthening national capacity

- Provide technical assistance, training, and technology support for RSS, GOC early warning system, regional networks, information clearinghouse, emergency response preparedness planning, public and private sector responders.
- Coordinate with USAID Democratic Governance SO to track, review, support and advocate for IDP policy and practices, trends and movements, legal protections and durable solutions, including rights of return, security, protection, and freedom from forced resettlement or return.

ii Strengthening local capacity

- Leverage alliances with social and economic assistance organizations that are well placed to take advantage of

USAID's strategy for generating economic opportunities.

- Link Colombian NGO partners to other USAID operators to implement local activities, closely cooperate and jointly train, manage, budget, monitor and evaluate activities.

- Link to ADAM municipal development committees (or other local administrative unit), eligible for sub grant funds for small development projects in support of IDP stabilization, re-entry, reintegration or settlement; local level committees (including IDPs) develop plans of activities or proposals to respond to locally determined needs and apply for small grants to implement them.

USAID will increasingly seek to channel social services through experienced and proven regional Colombian social assistance organizations, wherein scale economies and other cost savings can be attained. Over the period of implementation, transitional shift will be from direct provision of services to strengthening of the national and local capacity to provide integrated services to IDPs and other vulnerable groups.

F. Implementation Plan and Funding Levels

USAID will issue a Request for Application to identify a consortium or prime with associates to provide assistance to IDPs in the four focus zones as detailed in Annexes. USAID will enter into a cooperative agreement for the services required. An important factor for evaluating proposals will be the consortium's understanding of the complex Colombian environment and the challenges of the displaced in the geographic focus areas. Key personnel will consist of a Chief of Party of the lead firm and a Chief Representative from each member firm. This staff may be expatriate, although this is not a requirement. No additional expatriate technical officers are envisioned. A central office and approximately four regional offices will be required.

The total cost of this five-year cooperative agreement is estimated at between \$103,000, 000 and \$116,000,000. Firms submitting proposals should be aware that no funds have been obligated for this procurement at this time. The USAID Colombia Mission fully intends to obligate the resources for this cooperative agreement when fiscal year 2005 resource become available. The Mission will not be liable for any expenses incurred by firms presenting responses to this RFA if such funding does not become available. Funding for this program will be incremental, with new resources obligated to the CA each fiscal year once they have been apportioned to the Mission.

IV. Monitoring, Reporting, and Evaluation

The consortium will have a final monitoring and evaluation element built into its Cooperative Agreement, and program inputs, outputs and performance indicators will be jointly established during USAID's review and approval process of the consortium's initial work plan. The performance indicators will be directly linked to the SO Performance Monitoring Plan and periodically reviewed with the consortium.

A. Five-Year Indicative Plan and Annual Work Plans

The Applicant will develop a Five Year Indicative Plan as part of its response to this RFA. The final version of the Indicative Plan, incorporating the first Annual Work Plan, will be submitted within the initial two months of Award Recipient's field presence.

The Five Year Indicative Plan and subsequent Annual Work Plans will include detail on the Recipient's estimated level of effort, and thus budgets, for both long- and short-term personnel and other resources necessary to implement and achieve SO3: Intermediate Result (IR) 3.1; Strengthened National and Local Capacity to Provide an Integrated Package of Services to Internally Displaced Persons (IDPs) and Other Vulnerable Groups) and related activities and targets. Where necessary, revisions to previously agreed upon targets shall be made by agreement with USAID. The schedule for acceptance and approval of the Five Year Indicative Plan and Annual Work Plans by USAID will be within one month of their receipt by the Mission.

B. Reporting Requirements

- Quarterly Progress Reports

Not later than 30 days following the close of each quarter, the Recipient will prepare and submit quarterly progress reports to USAID. The reports will summarize progress in relation to agreed upon objectives contained in the Annual Work Plan, and will specify any problems encountered and indicate resolutions or proposed corrective actions. For each action, the Recipient will designate responsible parties and establish a schedule for completion. The report will list activities proposed for the next quarter, noting where they deviate from the approved Annual Plan.

- Final Report

A final report will be submitted that summarizes the impact of the program and lessons learned.

- Quarterly Financial Reporting

The contractor will submit a quarterly financial report summarizing expenditures against the approved budget, accruals and projected expenditures. The format for the reports will be provided by USAID.

- Success Stories

The contractor will provide USAID with short descriptions of specific program successes as frequently as appropriate in order to assist the Mission in accurately describing the impact of the program. These stories should wherever possible reflect the impact on specific communities or individuals.

The annual workplan and progress reports will include a data component that will provide information required for USAID's comprehensive data base (presently being developed). The data would also be consistent with the GOC data requirements as coordinated between USAID and the GOC. This information will be used by the Mission and the GOC to assess program impact and coordinate donor activities.

C. Performance Monitoring Plan and Results Framework

These management and reporting instruments will be developed by the Recipient and reviewed with USAID on the schedule specified in Section IV (A) above.

Monitoring within an alliance framework introduces some special considerations that the Applicant should address. The Applicant should explain how resource inputs will be tracked and used to determine whether alliance partners are meeting their commitments as stipulated in the Memorandum of Understanding or other agreement document. The proposed monitoring plan should track resources by partner such as funds, equipment or product donations, expert time allocated to the program, volunteer hours, and so forth. The plan should also track outputs that the alliance partners' resources are intended to produce.

Determining the eventual development impact of the program will be more challenging. While USAID has a set of intermediate results and indicators it will require the Consortium to measure, alliance partners may have different results they want to track and measure. The Applicant should explain how the program's M&E system will address these issues as well as capture key lessons learned from working in alliances.

V. Expected Results

The following are the indicators that the Mission has tentatively selected to measure achievement of this objective. The organizations responding to this RFA may propose alternative results indicators. They will also be expected to indicate the means that will be used to gather, verify and validate the information required to judge performance against the indicators

(subject to USAID review and approval). Finally, the consortium shall develop baselines and annual and five-year targets for each performance measure.

A. Intermediate Results 3.1: *Strengthened National and Local Capacity to Provide and Integrated Package of Services to IDPs and Other Vulnerable Groups*

- Number of IDPs voluntarily returned to their communities of origin
- Number of jobs created for IDPs
- Number of at-risk youth taking part in programs that enable them to avoid displacement and/or illegal recruitment (by gender)
- Numbers of Afro-Colombians, ethnic minorities and other vulnerable groups provided social and economic opportunities (by gender)
- Strengthened national capacity as indicated by increased percentage of IDPs registered, and provided services and protection by Colombian institutions
- Number of new and rejuvenated local institutions actively involved in IDP and vulnerable group social and economic support, peaceful reintegration or resettlement
- Number of new and reinforced Colombian local level institutions involved in significant local participation by end of strategic plan

VII. Implementation Plan

A. Overview of Procurement Process and Schedule

This will be a results focused program, and clear targets will be established that will be used to measure success during implementation. As related to *SO3: IR3.1; Strengthened National and Local Capacity to Provide an Integrated Package of Services to Internally Displaced Persons (IDPs) and Other Vulnerable Groups*, the Activity Approval Document (See Annex 3) should serve as a frame of reference for organizations preparing proposals for this program and are encouraged to suggest innovative approaches and implementation mechanisms they believe will achieve or exceed the program's desired results.

All proposals should include a plan to increase decision-making authority, increase responsibility and ultimately devolve implementation authority to local Colombian institutions by the end of the strategic period.

If the bidding organization proposes results targets different from those specified by USAID/Colombia in this document, it should clearly explain why the new result targets would be more advantageous in achieving overall program objectives.

B. Minimum Qualifications of Applicants:

- Must be a consortium, or lead institution with associates, or partnership of organizations with a clear lead U.S. institution and clearly defined devolution of responsibilities to maximize the mix of skills and areas of expertise of all partners.
- Lead institution must be a U.S. organization with extensive (at least five years) experience managing U.S. Government resources.
- Must have extensive (at least five years) successful experience in the implementation of large, complex programs in developing countries in Latin America.
- Must have extensive (at least five year) successful experience in implementing projects related to the technical subjects in the RFA (i.e., national and local capacity strengthening, provision of goods and services to vulnerable groups in close cooperation with partners and local NGOs, expanded income generation and economic and social opportunities in close cooperation with alternative development programs).
- Must have demonstrated capacity to work in close coordination with the other donors, host government officials, municipal officials and community leaders.

- Must be able to supply qualified technical personnel for the key positions.
- Must be able to mobilize staff in a timely manner for program implementation.
- Should have demonstrated capacity and experience in forming alliances with and leveraging significant resources from the private sector in ways that appeal to both private sector business strategies and corporate social responsibility sensitivities.

VIII. Substantial Involvement Understanding

USAID will be substantially involved in the cooperative agreement to be awarded under this RFA in the following areas:

Approval of annual work plans (to include measures to devolve authority and control to local organizations over the life of the strategic plan)

Approval of key personnel in consortium lead and major partners

Approval of monitoring and evaluation plans

Concurrence in the selection of sub award recipients and/or substantive provisions of the sub awards

Approval in final selection and/or proposed changes in geographic activity areas

Collaborative involvement in planned shift from direct delivery of services to increased local control

Coordinate public events related to program activities with USAID public information officers, especially as related to information dissemination related to projects.

SECTION D

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the

extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT**1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$_____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
-------------------------------	----------	---------------------

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	EST. UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
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(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for NON-US
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental

514-05-004

organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182).

_____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-12

☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes

☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes

☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes

☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes

☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

SECTION E - ANNEXES